

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

501.39983X00 filed April 5, 2001

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/806861

INTERNATIONAL APPLICATION NO.  
PCT/JP99/05574INTERNATIONAL FILING DATE  
08 October 1999 (8.10.99)PRIORITY DATE CLAIMED  
14 October 1998 (14.10.98)

TITLE OF INVENTION SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF

APPLICANT(S) FOR DO/EO/US NABATAME, TOSHIHIDE; SUZUKI, TAKAAKI; FUJIWARA, TETSUO and  
HIGASHIYAMA, KAZUTOSHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3.  This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4.  A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5.  A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a.  is transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  has been transmitted by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US).
6.  A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a.  are transmitted herewith (required only if not transmitted by the International Bureau).
  - b.  have been transmitted by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10.  A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern document(s) or information included:

11.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12.  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13.  A **FIRST** preliminary amendment.
- A **SECOND** or **SUBSEQUENT** preliminary amendment.
14.  A substitute specification.
15.  A change of power of attorney and/or address letter.
16.  Other items or information:

International Publication No. WO00/22658

Preliminary Examination Under Article 31

PCT Request Form

Credit Card Payment Form

Figs. 1-8

U.S. APPLICATION NO. (68 known, see 37 CFR 1.5)

09/806

INTERNATIONAL APPLICATION NO.  
PCT/JP99/05574ATTORNEY'S DOCKET NUMBER  
501.39983X0017.  The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5) ) :**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$970.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... \$840.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$690.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$670.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00

**CALCULATIONS PTO USE ONLY****ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than  20  30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	22 - 20 =	2	X \$18.00	\$ 36.00
Independent claims	7 - 3 =	4	X \$78.00	\$ 320.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$ 270.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 1,486.00

Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

\$ 0.00

**SUBTOTAL =**

Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	\$ 0.00
	+ \$ 0.00

**TOTAL NATIONAL FEE =**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property	\$ 40.00
	+ \$ 40.00

**TOTAL FEES ENCLOSED =**

\$ 1,526.00	Amount to be refunded:
	charged:

a.  A check in the amount of \$ 1,526.00 to cover the above fees is enclosed.

b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 01-2135. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

William I. Solomon  
Antonelli, Terry, Stout & Kraus, LLP  
1300 North Seventeenth Street  
Suite 1800  
Arlington, VA 22209

  
SIGNATURE: \_\_\_\_\_

William I. Solomon  
NAME: \_\_\_\_\_  
28,565  
REGISTRATION NUMBER: \_\_\_\_\_

Please type a plus sign (+) inside this box →

PTO/SB/124 (01-06)

Approved for use through 6/30/99. OMB 0651-0003

Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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**CHANGE OF  
CORRESPONDENCE ADDRESS**  
*Application*

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Application Number	
Filing Date	April 5, 2001
First Named Inventor	NABATAME, et al.
Group Art Unit	
Examiner Name	
Attorney Docket Number	501.39983X00

Please change the Correspondence Address for the above-identified application to:

Customer Number

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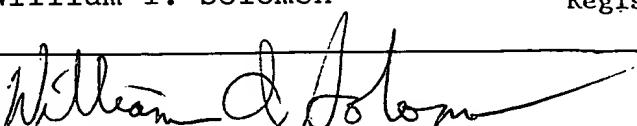
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<input type="checkbox"/> Firm or Individual Name			
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I am the :

- Applicant.
- Assignee of record of the entire interest.  
Certificate under 37 CFR 3.73(b) is enclosed.
- Attorney or agent of record.

Typed or Printed Name	William I. Solomon	Registration NO. 28, 565
Signature		
Date	April 5, 2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.